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ABSTRACT

Guidelines for college staff who have been assigned a new role of planning are presented. Advice for assessing the situation at the campus and developing a planning strategy is offered, and a framework for analyzing the planners' role, institutional needs, and planning activities is suggested. A bibliographic "roadmap" for the field of planning is also presented to assist the planner in analyzing unique needs. A bibliography provides recent citations divided into a number of categories. Other bibliographies that provide a more detailed assessment of references available to the planner are also cited, along with a list of five resource guides to consult in the beginning. Professional organizations and consultants are also identified as potential resources. It is recommended that planners should avoid 10 mistakes, including: the uncritical adoption of a planning process that worked well at another college; the assumption that all planning activities must be comprehensive, institution-wide, and time consuming; spending 6 months reading before taking action; and forming a planning committee as the first act. Specific types of planning are explained: strategic planning; futures techniques; and tactical planning, which includes budgeting, management of decline, program evaluation, academic planning, policy analysis, and enrollment planning. (SW)

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A GUIDE FOR NEW PLANNERS

Donald M. Norris

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The Society for College and University Planning

A GUIDE FOR NEW PLANNERS

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A GUIDE FOR NEW PLANNERS

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A GUIDE FOR NEW PLANNERS

* The Provost has just named you as representative of your college on a University-wide planning committee. Your Dean has also asked you to do double duty and provide some planning materials for the college planning committee. You haven't the slightest idea where to begin.

* You have just been hired as Director of Planning at a regional state university. By creating this new position, your President has made a statement about his commitment to planning and his feeling that serious planning has not occurred at the institution previously.

* As Vice President for Academic Affairs at a small liberal arts college, you are concerned about the program mix at your institution and your ability to deal with the increasingly technical and vocational interests of students. Your President has been receiving considerable pressure from the Board to make the college's program more relevant and has asked you to develop an action plan specifying potential changes in your academic program.

* As Director of Facilities Planning at a major research university, you have just received a copy of a memo from the Vice Chancellor for Academic Affairs, complaining that planning for the new Engineering Building failed to recognize many of the needs of other disciplines and the long-term academic goals of the campus. You utilized a planning committee in support of this project, but it was not connected with university-wide planning activities. You have been instructed to propose changes in the structure of the planning process to ensure that this problem does not happen again.

* In your newly appointed role as Director of Institutional Research, you are expected to provide analytical support for the planning process, which is scheduled to begin its new cycle next month. The type of data provided in the last cycle was generally regarded as being too detailed and poorly structured, but you have not specifically been asked to revise the format.

* Based on an idea he picked up at a professional conference, the President of your community college has directed you as Director of Admissions and Records to form an "enrollment management council" to orchestrate recruiting and retention efforts and enrollment services. In the past, these functions have been performed by different committees reporting to different vice presidents. You are to have the committee in place and functioning within a month.

* Despite changes in student disciplinary orientation and other factors which have created an environment where resource allocation is badly needed, you have been unable as Vice President of Finance to convince your President. However, she has formed a strategic planning council of which you are a member, which has been instructed to plan for the financial future of the institution.

* Your state's Coordinating Board has just launched a comprehensive review of doctoral-level programs, and you have been designated as the official representative from your university. Your first meeting is next week, and you have been asked to submit to your President a strategy for dealing with the situation.

* As Director of Personnel at an urban university, you have been directed by your President to respond to your institution's continuing high level

of turnover, difficulty in competing with major corporations for competent staff, and general lack of staff development activities. Your inclination is to devise a plan for human resources management, but you are having difficulty in seeing how such a program would fit into the overall campus planning activities.

The common thread linking each of the situations above is that someone has been asked to plan or to play a role in support of a planning process. Or perhaps someone has come to understand that planning is important and is searching for a way to advance the cause of planning at his institution. The institutional settings are different, as are the nature of the problems and the characteristics of the actors. But in each case, some individuals have been called upon to design and implement planning, generally with insufficient or even poor guidance, and under less than optimum conditions. The purpose of this monograph is to help the planner to plan under such real world circumstances. Chances are, you are beginning to plan in a similar situation.

You are not alone. Planning seldom begins under textbook conditions. It almost never proceeds with perfect precision. The purpose of this monograph is to help the new planner learn from the experiences of other planners about how to launch - and how not to launch - successful planning processes.

This is not a cookbook on how to plan by the numbers. So-called "presciptive planning models" - those that assume perfectly rational decision making and that pay inadequate attention to uncertainty and differences in environments - suggest ironclad steps and conditions for planning, but our approach does not. Rather, this is a roadmap of the field of planning that will help the planner to survey the situation and to develop a strategy for

planning. Good planning is more like an art than a science in that it depends on sage assessment and careful implementation based on the uniquenesses of particular situations. Our roadmap suggests factors one should consider and where one can go in the literature to find assistance in formulating questions and developing answers.

Another way to make this point is to use Harold Enarson's metaphor, which distinguishes between the "Cook's Tour" approach to planning and the "Lewis and Clark" model. The Cook's Tour defines a precise schedule on a well-defined route; it moves in orderly progression past known landmarks. Its aim is to avoid contingencies and the unknown and to structure planning in a scheduled, ordered and routine manner. On the other hand, the Lewis and Clark model incorporates a sense of adventure in the exploration of new planning frontiers. Lewis and Clark had a clear sense of context, direction, and what to look for, but their actual course was unknown. The Cook's Tour model gives the false impression of stability while the Lewis and Clark model suggests values and principles that can help the planner to deal with the uncertainty and unpredictability of planning. Clearly, the Lewis and Clark model is the goal for higher education planning.

To attain this end, this monograph begins by describing certain characteristics of planning and by recommending reactions that the new planner should avoid until he/she has analyzed the situation and determined what actions are appropriate. It then suggests a framework that the new planner should utilize in analyzing the potentials of his role, particular institutional needs, and the type of planning activities which are appropriate. It also provides a bibliography on the field of planning and suggests the several references and critical resources in each of several topical areas that are

critical to developing understanding and broadening competence for the new planner.

So You Have Been Asked to Plan?

However you come to decide that planning is necessary, either by directive, by appointment to a planning committee, or by responding to a problem that needs solving, you must understand some basic characteristics of planning. First, planning should occur at all levels of the organization. Planning behavior is a basic responsibility of all managers, administrators and academic leaders, and whether or not one is called a planner, planning is necessary to deal with the challenges of operation. In addition, planning can range in complexity and scope from simple problem solving activities to complex strategic planning or to comprehensive, long-range planning. Even if you are the only administrator with planning in your title, you are certainly not the only planner at your institution. Indeed, many so-called university planners are truly support staff to planning processes where the true planners are faculty and administrators with "line" responsibilities.

Second, even if you are the first person in your organization officially to be designated with planning in your title, you are certainly not the first planner in your organization. Nor will you be the last. You must be aware of the strengths, weaknesses, and perceptions of previous planning activities, both formal and informal. You must devise a strategy for dealing with this residue in constructing your current and future planning activities. Moreover, you should remember that what you are doing will provide the basis for the planning activities of whomever succeeds you. No matter how good your planning procedures are, they will be changed, and probably with good reason. Neither plans nor planning processes are carved in stone.

Third, regardless of your level and responsibility for planning, an important task for you is to encourage "planning oriented behavior" both in your domain and in those with whom you associate. Planning oriented behavior is a way of functioning and viewing the world that believes in the value of planning. It supports analytic approaches - not necessarily quantitative in nature - and aims at influencing and making decisions in the real world, not in a dream world of perfectly rational, apolitical decisions. By fostering planning oriented behavior, you will support the growth of planning in your organization.

Fourth, planning must pay attention to the timeframes, cycles, and sequences of institutional life. If not carefully related, the timeframes of planning and institutional decision making can become hopelessly disjointed. The budget cycle operates as a common linking element for budgetary and financial planning at different levels, but planning involving academic, financial, physical and human resource components must be linked carefully if integrated planning is to occur.

Avoid the Ten Deadly Sins of Reflexive Planning

Before considering what one should do to embark on planning, it is equally important to know what not to do. New planners often respond by reflex to their new assignment. Avoid at all costs the following temptations on being told to plan:

1. Do not attempt to implement, off the shelf, the planning process that worked so well at another institution with which you are familiar. Prescriptive models for planning, or processes that worked at other institutions and are outlined in "planning handbooks" are good places to turn for ideas, but they should not be applied without careful analysis and adaptation to your special needs and circumstances.

2. Do not assume that all planning activities must be comprehensive, institution wide, and time consuming. Planning can be highly targeted and problem focused. It does not need to dovetail with a formal planning process. It can be as simple or complex, and as abrupt or time consuming as needs demand. Even full bodied, all encompassing planning processes begin modestly. In time, one can move toward comprehensiveness, if conditions warrant, building on success.

3. Do not spend six months reading before you do anything. It is often better to take half the time to do something eighty percent as well than to strive for perfection. Just as it is wrong to attempt to apply another institution's process off the shelf, it is equally wrong to attempt to study the problem to death. Precious opportunities will be missed and a failure to generate planning products on a timely basis will erode what support planning has.

4. Do not form a planning committee as your first act. Many planning activities and processes at some point benefit from a formal planning committee, but the membership and charge of the committee must be carefully considered to meet the needs of your situation. Even worse than appointing the committee as your first action is inheriting a committee as part of your charge. It is best not to convene that committee before you have things for them to do or products to give them and have carefully structured their role and limitations. Naming the committee may be your first official or public act, but it must come after considerable deliberation.

5. Do not identify information needs that will take a year to complete or fulfill before you can move the process forward and do not use data as a

"security blanket." Information that is targeted to drive decisions is fine. Data gathered in a "surveillance mode" may keep your analysts busy, but is not very useful. Build on information that is currently available; even if retooling will ultimately be necessary, do not redefine everything at once.

6. Do not label what you are doing as something new, revolutionary, and wonderful. If you do not believe at the beginning of planning that truth in advertising is the best policy, you will by the end.

7. Do not characterize planning as being able to solve all of your problems. This is a corollary of point #6. Even if decisions made by virtue of planning solve some of your problems, planning may actually help you to identify problems of which you were not aware and for which there are no easy answers. While university faculty and administrators generally don't slay the bearers of bad tidings, no patient appreciates what will ultimately prove to be a good prescription while the taste of bad medicine is still lingering on the palate.

8. Do not overemphasize the importance of a final plan. In some cases, the process is more important than the plan and the right decision resulting from the planning processes is more important than a library full of plans. A plan may be necessary in your circumstances, but don't bet on it. Indeed, it is probably better to assume that a final plan of more than five pages is not necessary unless proven otherwise.

9. Do not claim that planning can capture all issues. In reality, planning that focuses on particular issues, placed in an appropriate context, is more successful than planning that tries to be all things to all issues. Planning processes need focal points and ways of separating the issues and devoting energies to the most important.

10. Be careful about proclaiming that your planning process is the first step (or second, or third, for that matter) in an on-going planning process. Don't get me wrong: continuity is critical. For existing planning processes it is important that current and future planning will build on the lessons from past planning. And for new planning processes it is critical to suggest that future efforts will improve and that perfection is far from possible, initially. However, it is vital to remember that "forever" is too difficult a concept for most faculty and administrators. The less said about perpetuity, the better.

Moving Forward: Analyze, Act, and Analyze Some More

Knowing what not to do may be more than half the battle. But there is no clear cut, prescribed sequence of what to do, either. Using common sense and some of the principles outlined below, the new planner can tailor a combination of thinking and action that suits her circumstances.

Understand Your Charge and Your Organization's Challenges. It is important to think before you act, but not so long as to delay timely action. Your first chore should be to analyze the potentials and limitations of your role as planner. Critical among these is understanding the charge you have been given, and whether it is definitive and/or binding. The limitations of a restrictive or poorly framed charge must be understood, and to the extent possible, overcome. You must also understand the nature of the challenges facing your organization, whether addressing all or any of these can be legitimately included in your charge, and how to confront these challenges through planning.

Components of Planning. It is also important to evaluate your role and the planning needs of your organization in the context of the different components of planning:

* the planning structure
* the planning process
* information and analytic support of planning

Every planning activity is composed of some combination of these three components, and it is critical that you achieve a balance among the three that is congruent with the purposes of the planning and the needs of your environment.

While much has already been said about planning structure, the infrastructure of planning committees and support staff, and planning process, the actual flow and substance of the planning activities, several additional points are in order. First, all organizations must achieve in their planning structure and process some balance between "top-down" and "bottom-up" planning. In educational organizations the balance often swings toward a participatory, "bottom-up" approach, but the new planner needs to seek a balance appropriate to her appropriate setting. Often the key is to identify those components of planning that need not be participatory and can be centrally directed, while subtly but firmly providing top-down direction and articulation to those areas where participation and consensus are critical, thus adhering to the spirit of the academic ethic of bottom-up planning and faculty participation. Second, and as previously stated, structures and processes must change and evolve, and one is well served by building that consideration into one's structure and process from the start.

Information and analytic support are often the stepchild of the planning process, an afterthought used to provide piles of data for planning committees to "chew on" while the planning process unfolds. Properly designed, however, a program of analytic support can provide key environmental intelligence, can manage and identify the issues confronting the organization, and can move the

process along by focusing attention and forcing decisions at appropriate junctures. Analytic support can be provided by a variety of parties and should consist of both qualitative and quantitative components.

Types of Planning. It is important in undertaking your analysis to understand the characteristics and strengths of different types of planning. For example, strategic planning examines the major strategic decisions facing your organization. By Robert Shirley's definition, a decision is not rendered "strategic" merely by being important. Strategic decisions define the institution's relationship to its environment; generally take the organization as a whole as the unit of analysis; must depend on inputs from a variety of functional areas; and must provide direction for, and constraints on, administrative and operational activities throughout the institution. Strategic planning is performed on an irregular timeframe as strategic challenges emerge. Some planners make the distinction between strategic planning and long-range planning, with long-range planning being intermediate term, routine and regular, and operating within the guidelines set by strategic planning. On the other hand, tactical planning consists of the short or intermediate term, regular, planning and budgeting activities dealing with administrative and operational activities that operate within the overall strategic context of objectives established by strategic planning. Problem focused or contingency planning is generally short term and highly focused, dealing with problems that exist today. The solutions to these problems may be long term in nature, but the activities are highly targeted.

Different authors have created different typolcgies that characterize planning in even different ways. The important thing is that the planner understands how different types of planning must vary and can apply a means of

differentiating between types of planning that is sensible and is easily communicated. Critically, the planner must be able to convey a sense of the differences in planning in jargon-free, simple expository English.

History of Planning/Resistance to Planning. In order to understand the potentials and limitations of planning, you must understand the history of planning and participatory decision making at your institution or agency. In many cases, this analysis must extend to encompass a multi-institutional environment, either a system of institutions in which you operate, the public institutions in your state, or any other cluster of institutions of which you are a part. To understand the history of planning you must recognize:

* The style and context of your organization;
* The extents and successes of planning in the past;
* Any biases and prejudices against planning and their relative strength;
* Key supporters and detractors of planning and participatory decision making, and their power to obstruct the process.

It is too easy for believers in planning to underestimate the resistance to planning in any organization and the resistance to your particular planning initiative. First, not everyone operates with the same notion of planning. For example, in most settings academic affairs officers and financial officers can each make strong and cogent arguments that their brand of planning is best for the institution. Each will claim to include a place for strategic thinking, qualitative and quantitative judgments, academic values, and financial reality in their brand of planning; each will truly believe that his variation is best for the organization; and depending on the circumstances, either may be right. Second, it is wrong to assume that resistance to

planning is irrational or unjustified. Some institutional officers may feel they are better able to plan unfettered by the distractions of participation, planning processes, cumbersome review procedures, and protracted discussion. And depending on the particular institutional history of planning and the issues at hand, they may be correct. Third, it is easy to underestimate the threat that planning poses in many traditional organizations. To the extent that it slices across hierarchical boundaries, planning can threaten existing power centers. It can also threaten to put planning staff and/or a planning committee between the president and the deans, vice presidents and other officers. Defensive behavior to such a threat is neither irrational nor unwarranted.

Many a planning process that is otherwise well defined to meet the challenges facing the organization has been doomed by a failure to understand the lessons of organizational history and the inherent resistance to planning. Tactics for dealing with resistance in a politic manner are essential.

Launching Initial Activities. Concurrent with the analysis of planning needs, it is important to launch carefully considered planning activities. You should read the most important works in the literature to develop a foundation of understanding about the basic role and structure of planning and about the particular aspects which seem congruent with the problems facing your organization. You can also develop an inventory of existing information sources, analytical capabilities, and planning tools. You must build upon this base, but not adhere slavishly to bad practices. Develop a sense of how much information and how many changes in existing information can be absorbed. At the same time, you can set in motion the process of fulfilling information requirements that are presently unfilled, but planning activities must move

forward before all the information is completed. Finally, possible participants in the planning process should be sought out. The choice of participants needs to balance the need to represent certain constituencies with the need to choose persons who can be counted on to foster planning-oriented behavior. While differences of opinion are generally healthy in moderate measures, persons of constructive, action-oriented demeanor are preferrable. A handful of "unplanners" can scuttle an otherwise well conceived planning process.

Do not be afraid to change, indeed, build flexibility to change into your process. As you continue to analyze your circumstancess, your perception of needs will change. "Adapt or die" is an apt observation for planning processes, planning structures, and information and analytic support for planning.

Establish a Strategy for Planning

Having analyzed the environment for prospects for planning and launched a number of planning related activities, you should devise a mixture of conscious strategies and tactics for each planning component: the planning process, the formal planning structure, and the information and analytic support. Recognizing the particular needs and challenges of the situation, no two mixtures of strategy should be precisely alike. Take as an example an engineering department using planning to focus on its need to acquire through creative means a range of equipment to support a new research lab. It may utilize an information heavy, highly analytic approach performed by one or two key faculty or administrators, in a relatively informal process. On the other hand, a university performing a strategic assessment of its market potential may constitute a formal, participatory planning process which is richly sup-

ported by quantitative and qualitative information on the external environment.

Tactics for Implementation. A critical component of institutional planning is an awareness of the importance of implementation. To implement planning, it is critical to set in motion the planning activities and behaviors that will produce usable results quickly and in a manner likely to win support for the planning process. Even planning activities that are fundamentally long-term in thrust and will not fully address the major problems at hand for some time should be devised in such a manner as to produce usable and useful results quickly. A number of examples reinforce this point:

* Problem focused planning that addresses particular institutional problems. Even planning that is long-range and/or strategic in nature could be used to address current problems. Such solutions build the credibility of the process.
* External environmental scanning that yields important information about the university's external environment. This sort of product is useful to the institution even before the planning process is completed. In addition to being useful, it shows how planning is different from normal managerial activity that is internally and historically focused.
* Useful collections and syntheses of information in a form not available from large-scale data bases. It is critical that planning be supported by useful collections of information and combinations of information, with the emphasis on information that is distilled down to a useful level, not hopelessly expanded.
* A planning process where the bringing together of different parties is in itself beneficial. In many cases, the process of planning can

be more important than the plan or any of the planning products. The process can be a means of dealing with other issues and of resolving misunderstandings.

An important aspect of a strategy for planning is to understand where the planning process is headed and what the product will be - and will not be. On the information front, the planning strategy should early on consider the combinations and distillations of information that will be reflected in the final plan or as a basis for action. The nature of the decisions that will be supported should be understood. Your conception of the outcome of planning will probably change dramatically as the process proceeds.

Besides winning support for planning by creating usable products early on, tactics for implementation should continually strive to disarm critics and cultivate supporters in a variety of ways. It is a truism that planning cannot succeed without the blessing of the chief executive officer, and that blessing must be extended to include vice presidents and other key actors. The planner must continually manage the process to win new supporters and sustain those supporters already in the planning camp.

A Roadmap of the Literature of Planning

As discussed above, the new planner must use the literature on planning to develop his ability to analyze the needs of his organization, the limitations of his role, and institutional history, and within the context of sound planning principles, to develop and launch a strategy for planning.

A truly comprehensive bibliography of the literature of planning would consist of thousands of citations. Since planning is a pervasive behavior that is involved in every level of the strategic, management, and operational activities of organizations, there is scarcely an aspect of administrative be-

havior that is not somehow related to planning. But much of the planning literature is redundant, prescriptive and/or related to particular circumstances, or overly general in nature. The attached bibliography consists of many of the major, recent citations on planning, divided into a number of categories relating to particular aspects of planning. As in all such bibliographies and classification schemes, excellent works have been excluded and those that have been included have been categorized broadly. As the planner analyzes and maps his planning needs and devises his strategy for dealing with them, she should identify those aspects of planning on which she needs information from the literature to assist her critical thinking. The following discussion highlights the most important references under each of these sections, providing for the planner a limited reading list of the most important references and enabling a planner confronted with a particular challenge to assemble her own reading list of the 10 or 15 most critical references. Remember the purpose of these readings, however: to assist you in critically analyzing your unique planning needs, not to find a cookbook answer in the literature.

General Planning Literature/Planning History/Organizational Context

Every planning activity needs to focus on specific components, but every planner should provide himself with some grounding in the general planning literature. The first three sections in the bibliography deal with the issue in different ways. The General Planning Literature provides general and more comprehensive views of the role of planning. The literature on the History of Planning descusses the evolution of planning concepts in higher education and the Organizational Context literature reviews the characteristics of decision making in higher education.

General Planning Literature. Michael's book On Learning to Plan and Planning to Learn is an excellent description of the different components of planning behavior and a planning orientation. Peterson's chapter "Analyzing Alternative Approaches to Planning", in Improving Academic Management, evaluates the different ingredients in planning in higher education and provides a fine, alternate basis for evaluating planning approaches. The chapter on planning in Drucker's book, Management: Tasks, Responsibilities, Functions, places planning in the context of the overall responsibilities of administrators. The three chapters by Quinn in succeeding issues of the Sloan Management Review provide an interesting assessment of planning. Finally, Anthony's Planning and Control Systems and Simon's Administrative Behavior remain classics. The other citations in the general planning literature are also excellent.

History of Planning. An understanding of the history of planning is also a critical ingredient. The first half of Keller's Academic Strategy: The Management Revolution in Higher Education provides an excellent discussion of the historical development of planning and management in higher education, up to and including recent changes. Sibley's "Planning for Universities: The Contemporary Predicament" is an interesting article on the different stages of planning in higher education and is updated by the article by Mims and Norris, entitled "A New Maturity in Institutional Planning and Information Management".

Organizational Context. In order effectively to analyze the environment for planning in higher education, it is important to understand the context of decision making and planning in educational institutions. In Power and Conflict in the University, Baldridge provides a classic description of the

nature of decision making in universities. His basic premises are both updated and focused on the peculiarities of upper level decision making in Leadership and Ambiguity: the American College President by Cohen and March, which introduces the concept of "Organizational Anarchy" as applied to universities. March's "Emerging Developments in the Study of Organizations" provides an up-to-date review of recent concepts on the functioning of organizations. Schmidtlein's splendid contrast between rational and nonrational decision making is contained in his article "Decision Process and Paradigms in Education". Finally, Cameron's articles on organizational effectiveness are "must" reading. These articles provide a fascinating theoretical basis that will help practitioners understand the nature and limitations of decision making in the organizational context of universities.

Reflections on Planning/Criticisms of Planning

There is a rich vein of books and articles in the literature that either place planning in its proper perspective or cast doubts on the fruits of planning. The need for more qualitative considerations in planning are captured in Enarson's article, "The Art of Planning", Ewing's book, The Human Side of Planning, and Bowen's "Humanistic Academic Planning". Lindblom's articles in the Public Administration Review, "The Science of Muddling Through" and "Still Muddling, Not Yet Through" focus on the inherent limitations of planning as do Aaron Wildavsky's article, "If Planning is Everything, Maybe It's Nothing", and Mandelbaum's article, "A Complete General Theory of Planning is Impossible". Dresch's "A Critique of Planning Models for Post-Secondary Education", Millett's "Higher Education Management Versus Business Management" and Weindenbaum's, "Corporate Planning Versus Government Planning" suggest further limitations in applying business-oriented planning to other types of organizations, such as universities.

On the other hand, much of the literature reflecting on planning suggests the value of planning and how to maximize its effectiveness. Boulding's "Reflections on Planning: the Value of Uncertainty" illustrates how the value of planning is greatest when uncertainty is high. Moore's "Pragmatic Considerations in Academic Planning" and the interesting article by Poland and Arns, "Characteristics of Successful Planning Activities", focus on developing realistic expectations and indicators of success for planning. Haas' article, "Winning Acceptance for Institutional Research and Planning", suggests how to increase acceptance and effectiveness of the process. These articles are important in establishing what planning can yield and how that success can be measured.

Strategic Planning

In recent years, strategic planning has become one of the new "buzz words" in higher education management. It has been extended as a concept to embrace a number of planning philosophies. Most recently, Keller's provacative book, Academic Strategy: The Management Revolution in American Higher Education has built upon the interest generated by Cope's books, Strategic Planning, Management and Decision Making and Strategic Policy Planning: A Guide for College and University Administrators and Frances' article "Apocalyptic Versus Strategic Planning". Moreover, the business literature has focused on the concept of "strategic management", as espoused in Schendel and Hofer's Strategic Management: A New View of Business Policy and Planning and Bracker's "The Historical Development of the Strategic Management Concept." A number of articles highlight limitations to strategic planning, most notably Baldridge and Okimi in "Strategic Planning in Higher Education: New Tool - Or New Gimmick? and Ball, Donovan and Taylor in "The Reality Gap in

Strategic Planning". Eadie, Ellison, and Brown put forward an interesting adaptation of strategic planning in "Incremental Strategic Planning". Quinn's three articles in the Sloan Management Review, cited under the general planning literature, also take a major focus on strategic planning. Finally, Robert Shirley's articles and books an strategic planning, several of which are cited in the bibliography, have come to be recognized as essential reading in the field.

An important aspect of strategic planning that has interesting applicability to higher education is the concept of "competitive advantage". This refers to the aim of strategic planning to identify those programmatic thrusts in which institutions can establish a competitive or comparative advantage. While a number of the aforementioned references on strategic planning and management deal with competitive advantage, of special interest is Ohmae's highly readable book, The Mind of the Strategist: Business Planning for Competitive Advantage.

Futures Techniques

Futurism and futures techniques enjoyed widespread popularity in 1972-1976 through the works of Michael Marien, Willis Harmon, and other authors, but failed to capture the imagination of most practical planners because of their failure convincingly to link their scenarios of the future with the present. In recent years, with the increasing interest in strategic planning, futures techniques have experienced a rebirth of interest. The two most notable recent references are A Futures Creating Paradigm: A Guide to Long Range Planning for the Future by the Resource Center for Planned Change of the American Association of State Colleges and Universities and Morrison's recent edition of New Directions for Institutional Research, entitled, "Applying

Techniques of Futures Research". Kirschling and Huckfeldt's chapter, "Projected Alternative Futures", in Improving Academic Management and Rene Zentner's "Scenarios, Past, Present and Future" are also useful. An important variant of futures techniques is the concept of "issues management", which enables an organization to identify emerging external issues and their potential impact on the organization. Brown's manual on issues management programs prepared for the Conference Board, cited under the section on human resources planning, is an important reference on this topic.

Tactical Planning

Within the context of the general readings on planning and the context established by strategic planning, there exist a number of tactical planning areas, each with its own literature. For the planner whose particular organizational circumstance calls for a tactical approach, it makes sense to undertake some reading of the overall nature, history, context, and limitations of planning and strategic decision making, but to move quickly to the particular tactical area(s) of greatest interest.

Budgeting and Resource Allocation. In reviewing the budgetary and resource allocation process as a basic component of tactical planning, a number of outstanding books and articles emerge. Wildavsky's classic book, The Politics of the Budgetary Process, and his article, "A Budget for All Seasons? Why the Traditional Budget Lasts", Lynden's article, "The Budget Cycle As a Basis for Decision Making in Higher Education", and the two articles by Pfeffer et al, "Organizational Decision Making As Political Process: A Case of the University Budget" and "Power and University Budgeting: A Replication and Extention", provide a rich basis in both theory and practice for understanding the budget as a basic, tactical planning

activity. Massy's "Resource Management in Financial Equilibrium", and Heim's "Management Systems and Budgeting Methodology: Do They Meet the Needs and Will They Work?" explore the uses and limitations of resource management techniques. Finally, the articles by Gillis, "Program Choice/Resource Compaction", by Lozier and Althouse, "Supporting Quality Through Priority Setting and Reallocation", and by Kirk, "The Balance of Resource Allocation Between Academic Programs and Service Support Services", address the issues of how to trim and reallocate resources and how to choose between academic and administrative programs in making those choices.

Retrenchment and the Management of Decline. A key component of both the strategic and resource allocation responses of the universities to the conditions of the 1980's has been the whole issue of responding to retrenchment and what Boulding referred to as "The Management of Decline" in his article in Change in 1975. In recent years, the best treatments of this issue have been Levine's article in Public Adminstration Review, "Organizational Decline and Cutback Management", Mortimer and Tierney's monograph, "The Three 'R's' of the Eighties: Reduction, Reallocation and Retrenchment", and Mingle's book, The Challenges of Retrenchment. Mingle's book is especially helpful since it has detailed treatments for institutions facing any of the many facets of retrenchment: discontinuing programs, initiating mergers, closure, managing faculty resources, faculty rights and responsibilities, legal issues, and state and federal roles. Depending on an institution's particular situation, these readings are critical adjuncts to those on strategic planning and those on tactical planning in the budget/reallocation areas.

Program Evaluation and Techniques of Evaluation. Evaluation of institutional programs is a critical tactical element. The best overall handbook on

program evaluation is by Anderson, Ball, Murphy and Associates, entitled The Profession and Practice of Program Evaluation. On a less ambitious scale, Craven's chapter "Evaluating Program Performance" in Improving Academic Management and Wilson's monograph in the New Directions for Institutional Research Series, "Designing Academic Review", are the best references available.

Dressel's Handbook of Evaluation goes hand in hand with Scarvia Anderson et al in providing encyclopedic treatment of almost any aspect of evaluation. Patten's Utilization Focused Evaluation identifies a more pragmatic orientation which highlights the weaknesses of "prescriptive" evaluation approaches, and Munitz's article "Evaluating Academic Performance" highlights the needs and possibilities for administrative evaluation.

Policy Analysis and Implementation. Many of the reference citations on policy analysis deal with the creation of federal policy, although many of these references draw important conclusions that are applicable with some modification to policy analysis activities in colleges and universities. Stokey and Zeckhauser's, A Primer for Policy Analysis and Aaron Wildavsky's Speaking Truth to Power: The Art and Craft to Policy Analysis are the best general references in this area. Drucker's article, "The Deadly Sins of Public Administration", has important inferences for policy studies. Brewer's "Where the Twain Meet: Reconciling Science and Politics in Analysis" and Morgan and Smircich's article, "The Case for Qualitative Research", reinforce the critical nature of political and qualitative considerations in policy analysis. Elmore's "Backward Mapping: Implementation, Research and Policy Decision", and Bardach's, The Implementation Game are provocative applications that focus on the importance of considering implementation in policy analysis.

Academic Planning. A number of books and articles focus on the particular circumstances of academic planning. Pfnister's Planning for Higher Education is an excellent example, and Fuller's article "A Framework for Academic Planning" is also useful. Heydinger's "Planning Academic Programs" and Zemsky, Porter and Odell's "Decentralized Planning: To Share Responsibility" are important statements of planning in the academic context. Shirley and Volkwein's "Establishing Academic Program Priorities" is an excellent discussion of establishing program priorities that is both strategic and academic planning in nature.

Several other aspects of academic planning are important. The issue of faculty career patterns and conditions of employment can be researched from a number of sources, such as Blackburn's article, "Faculty Career Development: Theory and Practice"; Patton's book, Academia in Transition: Mid-Career Change or Early Retirement; and Jenny, Heim and Hughes' monograph, Another Challenge: Age 70 Retirement in Higher Education. Manpower supply and demand for faculty are reviewed in Norris, Lasher and Brandt's Manpower Studies in Postsecondary Education, which summarizes most of the seminal work in the field by Freeman, Breneman, and Cartter; Hening and Sanderson's Technical Appendix, Doctoral Employment Supply and Demand Considerations; and Radner and Kuh's, Preserving a Lost Generation: Policies to Assure a Steady Flow of Young Scholars Until the Year 2000.

Enrollment Planning and Management. The appearance of the term enrollment management merges the theory and practice of enrollment projection and forecasting, manpower supply and demand, marketing as applied to higher education, and the growing emphasis on recruiting and retention. Kotler's Marketing for Non-Profit Organizations is the basic marketing textbook

available, while Grabowski's monograph Marketing in Higher Education applies those concepts directly to postsecondary learning. Wing's article "Forecasting Enrollment and Student Demographic Conditions" and Centra's article "College Enrollment in the 1980's: Projections and Possibilities", are the best treatments of forecasting student demand and enrollment. Inhlanfeldt's Achieving Optimal Enrollment and Tuition Revenues and Strategies for Effective Enrollment Management by Baldridge, Kemerer and Green are the best works available on enrollment management and planning, which combine these various concepts.

Human Resource Planning. One of the most striking developments in recent years has been the increased professionalism and interest in personnel management and the evolution of the term "Human Resource Management and Planning" to reflect a new maturity and sophistication in such matters. The corporate world has led higher education in developing an awareness of the importance of these issues, and much of the literature has a corporate flavor. For example, Anthony Carnevale's book, Human Capital: A High Yield Corporate Investment and Robert Winter's article, "A System for Organizational Readiness" convey the emerging sense of the importance of the development of human capital and that on organization must take a proactive role in planning for its human resource needs.

A number of excellent recent books and articles discuss this planning role. Burack and Mathys' book, Human Resource Planning: A Pragmatic Approach to Manpower Staffing and Development; Smith's two-part series of articles in the Personnel Journal; Frantzreb's article, "Human Resources Planning: Forecasting Manpower Needs"; and Greer and Armstrong's "Human Resource Forecasting and Planning: A State-of-the-Art Investigation" all pursue this subject. One

of the key elements of evolving human resource planning is a program of issues management, as discussed in the excellent book, Guidelines for Managing Corporate Issues Programs, published by the Conference Board.

Using Information/Planning for Technology/Information Systems. Information is a key ingredient in all types of planning. Increasing attention has been directed recently on research in the manner in which information is used by decision makers. Feldman and March's "Information in Organizations as Signal and Symbol" dealt with the issue of how information is used in decision making. Ungson, Braunstein, and Hall's article, "Managerial Information Processing: A Research Review", which also appeared in the Administrative Science Quarterly, addressed the same issue.

In addition, planning for technology, information systems, information resource management is an important ingredient in institutional planning, both strategic and tactical. Lucas points out in his article "A Corporate Strategy for the Control of Information Processing" that in most organizations information processing is "out of control" and without direction. Especially important in this regard is Rockart's "The Changing Role of the Information System Executive: A Critical Success Factor's Perspective", which suggests new measures of information system effectiveness. In two recent articles in the Harvard Business Review by McKenney and MacFarland, "The Information Archipelago - Maps and Bridges" and "The Information Archipelago - Plotting a Course", the challenges of the new information environment in organizations are charted.

Quantitative Support Planning/Decision Support Systems. Just as information is a critical ingredient in planning, analytic approaches - especially those of a quantitative nature - have become increasingly important. The

literature on the use of quantitative techniques in planning has grown over the years, and several recent articles and books have served as capstones. Hopkins and Massy's Planning Models for Colleges and Universities and the recent issue of the EDUCOM Bulletin dedicated to financial planning are the best sources available on modeling and high level analytical techniques. Hillman's article, "Information Strategies for an Institutional Planning Process", illustrates the importance of devising a conscious strategy for the information/analytic support to planning.

An outgrowth of technical modeling capabilities is the concept of Decision Support Systems (DSS), which has become a philosophy rather than just a technology. DSS involves designing systems to support decision makers that are truly sensitive to their needs and user driven, using the tools of interactive computing, modeling, policy analysis, operations research, and the knowledge of how decisons are made. Sheehan's recent issue of New Directions for Institutional Research, "Information Technology: Innovations and Applications" and Keen and Scott Morton's, Decision Support Systems, are excellent works on this topic.

Campus and Facilities Planning. In the literature, campus planning generally refers to the overall, integrative process of creating a "campus master plan", which deals with the relationships between individual buildings and the campus as a whole. Facilities planning focuses upon the individual building and the systems which it contains. While older than most of our references, Dober's book, Campus Planning, is still the standard. Much of the literature on facilities and physical planning is of the cookbook variety, like Danke, Jones, Mason and Romney's NCHEMS Handbook, Higher Education Planning and Management Models, and Bareither and Schillinger's University

Space Planning. Recent articles by Regnier, "Improving the Utilization of Capital Facilities", Mayer, "The Implementation Plan", Hewitt, "Campus Renewal in the 1980's: The New Voyage of the Beagle", and Loomis and Skeen, "Evaluating the Adequacy of Campus Physical Facilities", get at other analytical issues relating to facilities planning.

Prescriptive Models/Handbooks

While it is inappropriate to apply unquestioningly any planning model to a particular organizational context, there are a number of planning models for particular environments and planning handbooks that suggest a prescribed process and pattern that may with modification be applied by the planner. A number of these are very useful. Notable among these are Micek's Integrating Academic Planning and Budgeting in a Rapidly Changing Environment, a general statement of combining academic planning and budgeting; NACUBO's A College Planning Cycle: People, Resources, Process; The Academy for Educational Development's, Planning in Higher Education: A Manual for College and Universities; Parekh's Long Range Planning; Pilon's A Planning Approach for Small Colleges; and Lelong and Hinman's Report on a Study of Implementation of Formal Planning and Strategies to the Large University. These examples can be of great assistance to the new planner.

Biobliographies and Indices

Additional bibliographies are cited which provide a more detailed assessment of references available to the planner. Deaton's An Annotated Bibliography of Higher Education Facilities Publications explores the facilities utilization field, whereas Hackman and Libby's "Toward More Effective Strategic Planning: Annotated Readings About Planning, Human Information Processing and Decision Support Systems" explores current planning con-

cepts. Litten and McDade's Higher Education Marketing Bibliography Through December 1981 provides additional references on marketing and higher education. Love's "Sources and Resources for Planning in the Small College: An Annotated Bibliography" is an excellent aid to the planner in the small college setting. Halstead's two bibliographies are nearly encyclopedic in their treatment of planning and of higher education in general.

A Critical Short List of References

While every new planner should build his own reading list to suit his own particular needs, one often hears a variation of the question, "What five or six references should I take with me on my two-week vacation to get started?" Let us suggest the following short list:

* Keller's Academic Strategy - especially the first part dealing with the history of planning;
* Peterson and Jedamus' Improving Academic Management - especially Peterson's chapter on analyzing alternative approaches to planning and those dealing with various tactical planning issues;
* Some grouping of Robert Shirley's works on strategic planning, either his book Corporate Planning or some of the articles cited in this bibliography;
* Michael's Learning to Plan and Planning to Learn - still an excellent exposition of the theory and conceptual underpinning of planning;
* Hopkins and Massy's book, Planning Models for Colleges and Universities - an excellent exposition of analytical models and techniques.

Sources of Information and Professional Organizations

There are several professional organizations which address the needs of planners. The Society of College and University Planning (SCUP) deals with issues relating to all types of planning in higher education. The Association for Institutional Research (AIR) deals with analysis, and institutional research, and how they relate to planning in higher education.

SCUP publishes a newletter and a journal, Planning for Higher Education, while AIR publishes a newsletter and a journal, Research in Higher Education. It also sponsors a series of more comprehensive monographs on issues pertaining to higher education planning entitled New Directions in Institutional Research. The American Association of Higher Education (AAHE) also concerns itself with planning along with other areas of interest and publishes a series of research reports annually, some of which deal with planning issues. The Association for the Study of Higher Education (ASHE) also encourages research and a publication series that can have planning-related material. An interesting international journal is published by the program of institutional management in higher education entitled The International Journal of Institutional Management in Higher Education.

Other journals which regularly provide articles on planning include: Change, Futures, Harvard Business Review, Journal of the American Institute of Planners, Long-Range Planning, Academy of Management Review, Management Science, Policy Sciences, Public Administration Review, The Sloan Management Review, Corporate Long Range Planning, and the NACUBO Professional File. Being a cross- and interdisciplinary endeavor, planning articles can appear in a wide variety of publications.

Planners seem compelled to group together to discuss their field. The following address list of professional associations dealing with planning may

be of assistance to the new planner seeking information on membership, services and publications.

1. Society for College and University Planning
   2001 School of Education Building
   Ann Arbor, Michigan 48109

2. Association for Institutional Research
   314 Stone Building
   Florida State University
   Tallahassee, Florida 32306

3. North American Society of Corporate Planners
   300 Arcade Square
   P. O. Box 1288
   Dayton, Ohio 45402

4. Planning Executive Institute
   P. O. Box 70
   Oxford, Ohio 45056

5. Issues Management Association
   105A Old Long Ridge Road
   Stamford, Connecticut 06903

6. World Future Society
   4916 St. Elmo Avenue
   Bethesda, Maryland 20814-5089

7. Conference Board
   845 Third Avenue
   New York, New York 10022

8. American Association for Higher Education
   One Dupont Circle
   Suite 780
   Washington, D. C. 20036

9. American Institute of Architects
   1735 New York Avenue, N.W.
   Washington, D.C. 20006

10. Council on Education Facilities Planning
    29 West Woodruff Avenue
    Columbus, Ohio 43210

Network of Planning Assistants

At some point in your deliberations, it may be helpful to seek assistance or guidance, to obtain a reaction to your strategy for planning, or to seek a reference for formal consulting services on planning in your particular institutional setting. It is always possible, of course, to contact the authors of key articles or books to seek their reactions, but you may be somewhat more comfortable contacting fellow members of the Society for College and University Planning for advice. The attached list is not intended as a formal list of consultants, but as volunteers or assistants who can provide advice and guidance. In this regard, the following individuals may be helpful.

I. General Planning in Different Institutional Settings

1. Major Research Universities

Dr. Raymond M. Haas
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Dr. Jack E. Freeman
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2. Public Colleges and Universities

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4. Developing Institutions

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5. Community Colleges

Dr. Lee Stevens
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II. Different Types of Planning

1. Strategic Planning

Dr. Robert Shirley
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2. Organizational Context/Limitations on Planning

Dr. Frank Schmidtlein
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3. Futures Techniques

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4. Budgeting, Resource Allocation, Management

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5. Retrenchment and the Management of Decline

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6. Program Evaluation and the Techniques of Evaluation

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7. Policy Analysis and Implementation

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9. Enrollment Management and Planning

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10. Statewide Systemwide Planning

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I. General Planning/History of Planning/Organizational Context

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V. Tactical Planning

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